

Guide for Review of Fiscal Year (FY) 1996 Homeownership Zones (HOZ)			
Name of Program Participant:			
Staff Consulted:			
HOZ/EDI Grant Amount:		HOZ Area:	
HOZ/Section 108 Loan Guarantee Amount:		HOZ Units:	
Name(s) of Reviewer(s):		Date:	

NOTE: All questions that address requirements contain the citation for the source of the requirement (statute, regulation, NOFA, or grant agreement). If the requirement is not met, HUD must make a finding of noncompliance. All other questions (questions that do not contain the citation for the requirement) do not address requirements, but are included to assist the reviewer in understanding the participant's program more fully and/or to identify issues that, if not properly addressed, could result in deficient performance. Negative conclusions to these questions may result in a "concern" being raised, but not a "**finding**."

Instructions: This Exhibit is applicable to the six HOZ program participants selected as part of HUD's FY 96 HOZ/EDI Grant competition ("Round I"). It is designed to evaluate compliance with HOZ expenditure requirements and assess accomplishments under the HUD-approved HOZ proposal. The Exhibit is divided into five sections: Eligible Activities; Performance; Program Management; Financial Management (cross-referencing only); and Cross-Cutting Requirements. Certain questions require the use of other Exhibits in this Handbook or monitoring guidance contained in other documents. One Exhibit is to be completed for each HOZ project monitored. For activities within the HOZ that are funded by other CPD programs, the reviewer should determine whether to include a review of other CPD programs as part of the HOZ monitoring review and, if so, use the appropriate monitoring Exhibit(s) elsewhere in this Handbook.

Questions:

A. ELIGIBLE ACTIVITIES

1.

Is the program participant carrying out the activities described in its latest approved HOZ grant proposal? [HOZ NOFA, Section I.(D) and II.(B)(2)]	<input type="checkbox"/> Yes	<input type="checkbox"/> No
Describe Basis for Conclusion:		

2.

<p>[OS] Is the program participant using its HOZ/EDI funds for approved uses? [HOZ NOFA, Sections I.(D)(9) and H; 24 CFR 570.703; HOZ/EDI Grant Agreement, Section 2]</p>	<div style="display: flex; justify-content: space-around;"> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> </div> <div style="display: flex; justify-content: space-around;"> Yes No N/A </div>
<p>Describe Basis for Conclusion:</p>	

3.

<p>Is the program participant using its HOZ/Section 108 Loan Guarantee funds for approved uses? [HOZ NOFA, Sections I.(D)(9) and H; 24 CFR 570.703; Contract for Loan Guarantee Assistance, Section 15. "Special Conditions and Modifications"]</p>	<div style="display: flex; justify-content: space-around;"> <input type="checkbox"/> <input type="checkbox"/> </div> <div style="display: flex; justify-content: space-around;"> Yes No </div>
<p>Describe Basis for Conclusion:</p>	

4.

<p>[OS] a. Is the program participant using its HOZ/EDI or HOZ/Section 108 Loan Guarantee Funds for new housing construction?</p>	<div style="display: flex; justify-content: space-around;"> <input type="checkbox"/> <input type="checkbox"/> </div> <div style="display: flex; justify-content: space-around;"> Yes No </div>
<p>Describe Basis for Conclusion:</p>	

Exhibit 8-1
Homeownership Zones (1996)

6509.2 REV-5

b. If the answer to “a” above is “yes,” is the new housing construction being carried out by an approved Community Based Development Organization (CBDO)? [24 CFR 570.204 and HOZ/EDI Grant Agreement, Section 4]	<input style="width: 30px; height: 20px;" type="checkbox"/> Yes	<input style="width: 30px; height: 20px;" type="checkbox"/> No
Describe Basis for Conclusion: <div style="height: 100px; border: 1px solid black;"></div>		

5.

[OS] Are all HOZ activities being carried out within the approved HOZ boundaries? [HOZ NOFA, Sections I.(B), I.(D)(1), and II.(B)(2)]	<input style="width: 30px; height: 20px;" type="checkbox"/> Yes	<input style="width: 30px; height: 20px;" type="checkbox"/> No	<input style="width: 30px; height: 20px;" type="checkbox"/> N/A
Describe Basis for Conclusion: <div style="height: 100px; border: 1px solid black;"></div>			

6.

If the program participant has made changes to its HUD-approved grant proposal, did the program participant follow the procedures for material and non-material amendments? [FY 96 HOZ/EDI Competition Procedures for Amendments, 7/8/99]	<input style="width: 30px; height: 20px;" type="checkbox"/> Yes	<input style="width: 30px; height: 20px;" type="checkbox"/> No	<input style="width: 30px; height: 20px;" type="checkbox"/> N/A
Describe Basis for Conclusion: <div style="height: 100px; border: 1px solid black;"></div>			

7.

Did the program participant receive HUD approval for material amendments?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	Yes	No	N/A
Describe Basis for Conclusion:			

8.

If the program participant has changed the use of its HOZ/EDI grant funds, did HUD approve an amendment to the program participant's HOZ/EDI Grant Agreement? [HOZ/EDI Grant Agreement, Section 8]	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	Yes	No	N/A
Describe Basis for Conclusion:			

9.

If the program participant has changed the use of its HOZ/Section 108 Loan Guarantee funds, did HUD approve an amendment to the program participant's Contract for Loan Guarantee Assistance? [24 CFR 570.704(c)(5) and HOZ/EDI Grant Agreement, Section 4]	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	Yes	No	N/A
Describe Basis for Conclusion:			

10.

<p>[OS] Do the program participant's files support the eligibility of the activities funded by the HOZ/EDI and HOZ/Section 108 Loan Guarantee funds? [24 CFR 570.506; 24 CFR Part 85.20; and HOZ/EDI Grant Agreement, Section 4]</p>	<table border="1"> <tr> <td><input type="checkbox"/></td> <td><input type="checkbox"/></td> <td><input type="checkbox"/></td> </tr> <tr> <td>Yes</td> <td>No</td> <td>N/A</td> </tr> </table>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Yes	No	N/A
<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>					
Yes	No	N/A					
<p>Describe Basis for Conclusion:</p>							

B. PERFORMANCE

11.

<p>Is the program participant submitting the required Quarterly Reports on time? [FY 96 HOZ/EDI Competition Procedures for Progress and Performance Reports, 7/8/99 (revised 5/03)]</p>	<table border="1"> <tr> <td><input type="checkbox"/></td> <td><input type="checkbox"/></td> </tr> <tr> <td>Yes</td> <td>No</td> </tr> </table>	<input type="checkbox"/>	<input type="checkbox"/>	Yes	No
<input type="checkbox"/>	<input type="checkbox"/>				
Yes	No				
<p>Describe Basis for Conclusion:</p>					

12.

<p>Are the Quarterly Reports consistent and accurate?</p>	<table border="1"> <tr> <td><input type="checkbox"/></td> <td><input type="checkbox"/></td> </tr> <tr> <td>Yes</td> <td>No</td> </tr> </table>	<input type="checkbox"/>	<input type="checkbox"/>	Yes	No
<input type="checkbox"/>	<input type="checkbox"/>				
Yes	No				
<p>Describe Basis for Conclusion:</p>					

13.

Do the Quarterly Reports cover all phases of the HOZ? [FY 96 HOZ/EDI Competition Procedures for Progress and Performance Reports, 7/8/99 (revised 5/03)]	<input type="checkbox"/> Yes	<input type="checkbox"/> No
Describe Basis for Conclusion:		

14.

Is the program participant meeting its HUD approved timeline? [HOZ NOFA, Sections I.(D)(7) and II.(B)(2); HOZ/EDI Grant Agreement, Section 6; Contract for Loan Guarantee Assistance, Section 1.(b)]	<input type="checkbox"/> Yes	<input type="checkbox"/> No
Describe Basis for Conclusion:		

15.

Is the program participant meeting its goal for assisting new homebuyers? [HOZ NOFA, Sections I.(D)(1) and II.(B)(2)]	<input type="checkbox"/> Yes	<input type="checkbox"/> No
Describe Basis for Conclusion:		

16.

Has HUD approved the HOZ as a designated Neighborhood Revitalization Strategy Area (NRSA)? [HOZ NOFA, Section I.(D)(3); 24 CFR 570.208(d)(5)]	<input type="checkbox"/> Yes	<input type="checkbox"/> No
Describe Basis for Conclusion:		

17.

Is the program participant meeting the requirement that 51% of new homebuyer families be low- and moderate-income? [HOZ NOFA, Section I.(D)(3); 24 CFR 570.208(d)(5)(ii)]	<input type="checkbox"/> Yes	<input type="checkbox"/> No
Describe Basis for Conclusion:		

18.

Is the program participant leveraging the anticipated amount of other funds? [HOZ NOFA, Section I.(D)(5)]	<input type="checkbox"/> Yes	<input type="checkbox"/> No
Describe Basis for Conclusion:		

19.

[OS] Has the program participant inspected the completed homebuyer properties to ensure that each property meets all applicable State and local codes and building standards?	<input type="checkbox"/> Yes <input type="checkbox"/> No
Describe Basis for Conclusion:	

20.

a. Does the program participant have a process for resolving homebuyer complaints?	<input type="checkbox"/> Yes <input type="checkbox"/> No
Describe Basis for Conclusion:	

b. If the answer to “a” above is “yes,” describe the process.
Describe Basis for Conclusion:

21.

Has the program participant missed any significant benchmarks? (If “yes,” specify below.)	<input type="checkbox"/> Yes	<input type="checkbox"/> No
Describe Basis for Conclusion:		

22.

Has the program participant met the requirement that all HOZ/EDI funds be expended by September 30, 2003? [FY 96 HUD Appropriations Bill]	<input type="checkbox"/> Yes	<input type="checkbox"/> No
Describe Basis for Conclusion:		

23.

Has the program participant met the requirement that all HOZ/Section 108 Loan Guarantee funds be advanced by September 30, 2003? [FY 96 HUD Appropriation Bill]	<input type="checkbox"/> Yes	<input type="checkbox"/> No
Describe Basis for Conclusion:		

24.

[OS] Do the program participant's files support the information reported in the Quarterly Report as described below: [24 CFR 570.506; 24 CFR Part 85.20 and HOZ/EDI Grant Agreement, Section 4]		
a. Number of HOZ units?	<input type="checkbox"/>	<input type="checkbox"/>
	Yes	No
b. Location of units within the HOZ boundaries?	<input type="checkbox"/>	<input type="checkbox"/>
	Yes	No
c. Beneficiary data?	<input type="checkbox"/>	<input type="checkbox"/>
	Yes	No
d. Sources and uses of funds?	<input type="checkbox"/>	<input type="checkbox"/>
	Yes	No
e. Leverage?	<input type="checkbox"/>	<input type="checkbox"/>
	Yes	No
Describe Basis for Conclusion:		

C. PROGRAM MANAGEMENT

25.

Has the program participant designated a HOZ coordinator?	<input type="checkbox"/>	<input type="checkbox"/>
	Yes	No
Describe Basis for Conclusion:		

26.

[OS] Does the coordinator have sufficient authority to achieve results, resolve interagency conflicts or issues and take corrective actions? [24 CFR 570.501 and HOZ/EDI Grant Agreement, Section 4]	<input type="checkbox"/> <input type="checkbox"/> Yes No
Describe Basis for Conclusion:	

27.

[OS] Has the program participant executed written agreements with its contractors and subrecipients? [24 CFR 570.503 and HOZ/EDI Grant Agreement, Section 4]	<input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> Yes No N/A
Describe Basis for Conclusion:	

28.

[OS] Does the program participant have procedures to monitor the performance of its contractors and subrecipients? [HOZ/EDI Grant Agreement, Section 5; 24 CFR 570.501]	<input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> Yes No N/A
Describe Basis for Conclusion:	

29.

[OS] Has the program participant monitored any contractors or subrecipients?	<input type="checkbox"/>	<input type="checkbox"/>
	Yes	No
Describe Basis for Conclusion: 		

30.

[OS] Has the program participant taken corrective actions to resolve any findings or concerns?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	Yes	No	N/A
Describe Basis for Conclusion: 			

D. FINANCIAL MANAGEMENT

[OS] **Instructions:** Use Section C of Exhibit 5-1, “Guide for Review of Section 108 Loan Guarantees, EDI and BEDI Grants;” Exhibit 3-15, “Guide for Review of Financial Management” and Exhibit 3-16, “Guide for Review of Cost Allowability” to conduct financial management monitoring for this HOZ.

E. CROSS-CUTTING REQUIREMENTS.

Instructions: The following question is to be answered based upon the use of other Exhibits in this Handbook, or in some cases, other review documents not included here. Areas not reviewed, or not part of this HOZ, should be noted by marking the “N/A” box.

31.

[OS] Is there evidence that the program participant is complying with the following cross-cutting requirements (identify those reviewed):			
a. Procurement? (Use Exhibit 3-20.) [24 CFR 85.36 and HOZ/EDI Grant Agreement Section 4]	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	Yes	No	N/A
b. Section 3 Economic Opportunities? (Use Exhibit 22-7.) [24CFR 570.607(b) and HOZ/EDI Grant Agreement, Section 4]	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	Yes	No	N/A
c. MBE/WBE? (Use Exhibit 3-20.) [24 CFR 85.36(e) and HOZ/EDI Grant Agreement, Section 4]	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	Yes	No	N/A
d. Lead-based Paint? (Use applicable Exhibits in Chapter 24.) [24 CFR 570.608 and HOZ/EDI Grant Agreement, Section 4]	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	Yes	No	N/A
e. Uniform Relocation Act? (See Handbook 1378.0.) [24 CFR 570.606 and HOZ/EDI Grant Agreement, Section 4]	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	Yes	No	N/A
f. NEPA? (Use Exhibit 21-1.) [24 CR 570.200(a)(4) and HOZ/EDI Grant Agreement, Section 4]	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	Yes	No	N/A
g. Architectural Barriers Act? (Use Exhibit 22-1.) [24 CFR 570.614 and HOZ/EDI Grant Agreement, Section 4]	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	Yes	No	N/A
h. Property Equipment Disposition? (Use Exhibit 3-21.) [24 CFR 85.32 and HOZ/EDI Grant Agreement, Section 4)]	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	Yes	No	N/A
i. Other (specify)?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	Yes	No	N/A
Describe Basis for Conclusion:			